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PRAVEL, GAMBRELL, HEWITT, KIMBALL & KRIEGER JAN 23 1988

PROFESSIONAL CORPORATION

ATTORNEYS AT LAW

TENTH FLOOR

1177 WEST LOOP SOUTH

HOUSTON, TEXAS 77027-9095

(713) 850-0909

TELEX 792026 TEXPATHOU

TELECOPIER (713) 850-0165

BERNARR ROE PRAVEL  
JAMES B. GAMBRELL III  
ALBERT B. KIMBALL, JR.  
LESTER L. HEWITT  
PAUL E. KRIEGER  
N. ELTON DRY  
CHARLES C. GARVEY, JR.\*  
CHARLES M. COX  
WAYNE E. WEBB, JR.  
GREGORY C. SMITH\*  
PAUL C. VAN SLYKE  
PENROSE L. ALBRIGHT†  
KEITH LUTSCH  
JAMES H. RILEY II  
MARC L. DELFLACHE  
RICHARD D. FLADUNG  
GERALD W. SPINKS  
EUGENE R. MONTALVO  
RITA M. IRANI  
ROBERT A. MILLER†  
SUE Z. SHAPER  
JOHN W. JONES†  
SHAUKAT A. KARJEKER

SETH M. NEHRBASS (PAT. AGT.)\*

OF COUNSEL  
COKE WILSON

\*ADMITTED IN LOUISIANA  
†ADMITTED IN VIRGINIA

GROUP 110  
PATENT, TRADEMARK,  
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TECHNOLOGY-RELATED MATTERS

WASHINGTON, D.C. OFFICE

2306 SOUTH EADS STREET  
ARLINGTON, VIRGINIA 22202  
(703) 979-3242

NEW ORLEANS OFFICE

650 POYDRAS STREET, SUITE 1400  
NEW ORLEANS, LOUISIANA 70130  
(504) 524-7201

AUSTIN OFFICE

BARTON OAKS PLAZA TWO  
901 MOPAC EXPRESSWAY SOUTH  
SUITE 425

AUSTIN, TEXAS 78746

(512) 328-9006

LAFAYETTE OFFICE

1720 KALISTE SALOON, SUITE C-9  
LAFAYETTE, LOUISIANA 70508  
(318) 989-0909

January 20, 1989

Honorable Donald J. Quigg  
Assistant Secretary of the  
Department of Commerce and  
Commissioner of Patents  
and Trademarks  
Washington, D.C. 20231

RE: Request to Expedite Filing of File Wrapper  
Continuing Application on Superconducting Composition  
Serial No. 012,205

Dear Commissioner Quigg:

We are taking the unusual step of submitting the file wrapper continuing application of the inventor Ching-Wu Chu, Serial No. 012,205, which was filed on February 6, 1987 for "High Transition Temperature Superconducting Compositions" and a Preliminary Amendment therein to your office to expedite its receiving a serial number and being placed in the hands of Examiner D.L. Albrecht in Group 115 without delay.

The reasons for this unusual request are as follows:

(1) Applicant's attorneys have recently interviewed Examiner Albrecht concerning application Serial No. 012,205 and he is waiting for this file wrapper continuation to act on modifications of certain claims that had been added to the parent of the file wrapper continuation by a Supplemental Amendment dated October 18, 1988, but did not reach him before he mailed his Office Action of November 1, 1988.

79252/1--1/20

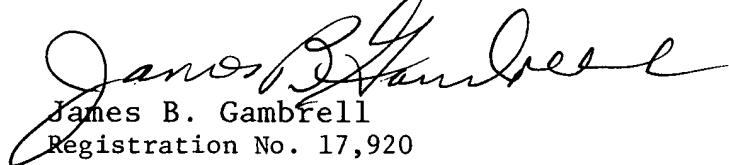
Honorable Donald J. Quigg  
Page 2  
January 20, 1989

(2) Examiner Albrecht's prompt response to this file wrapper continuation is important since Applicant's continuing-in-part application, Serial No. 032,041, which was filed on March 26, 1987, is involved in Interference No. 101,981 (styled Qadri et al v. Chu v. Beyers et al v. Batlogg et al) and Preliminary Statements and Motions are due to be filed by all parties on or before March 15, 1989.

(3) Prompt action on the enclosed file wrapper continuing application by Examiner Albrecht will permit Applicant Chu's attorneys to better focus its motions to substitute applications, counts, etc. in the Interference since the file wrapper continuing application involves a mixed phase composition including a superconductive phase (123); whereas, the count in the Interference 101,981 is directed to an essentially pure 123 composition.

Inasmuch as President Reagan and your Office have dictated that superconductivity applications be treated special, this request that the enclosed file wrapper continuing application be promptly processed through the Patent and Trademark Office and then delivered to Examiner Albrecht will further that goal.

Respectfully submitted,

  
James B. Gambrell  
Registration No. 17,920

JBG:lee  
Enclosure

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Docket No. \_\_\_\_\_ GROUP 110  
Anticipated Classification of this application:  
Class \_\_\_\_\_ Subclass \_\_\_\_\_  
Prior application: Serial No. 012,205 (filed 2/6/87)  
Examiner: Dennis L. Albrecht  
Art Unit: 115

Commissioner of Patents and Trademarks  
Box FWC  
Washington, D.C. 20231

#17C  
Pydolt  
J. Albrecht  
2/16/89

FILE WRAPPER CONTINUING APPLICATION (FWC)

- WARNING:** This form cannot be used where the parent case may not be abandoned since the filing of a request under the FWC procedure "will be considered to be a request to expressly abandon the prior application as of the filing date granted to the continuing application." 37 CFR 1.62(g).
- WARNING:** This procedure can only be used for a pending application prior to payment of the issue fee. 37 CFR 1.62(a).
- WARNING:** The claims of this new application may be finally rejected in the first Office action where all claims of the new application are drawn to the same invention claimed in the earlier application and would have been properly finally rejected on the grounds or art of record in the next Office action if they had been entered in the earlier application. MPEP § 706.07(b).
- WARNING:** A continuation-in-part application under 37 CFR 1.62 is filed by making changes by amendment to the prior application, 37 CFR 1.62(a), and not with a new application.
- WARNING:** Filing under 37 CFR 1.62 is permitted only if filed by the same or less than all the inventors, named in the prior application.

I. This is a request for a filing under the file wrapper continuing application procedure, 37 CFR 1.62, for a

- ☒ continuation (of prior complete application Serial No. 012,205  
filed February 6, 1987)  
☐ divisional  
☐ continuation-in-part (for oath or declaration see II below)  
☐ attached is an amendment for added subject matter  
of prior complete application Serial No. \_\_\_\_\_, filed on  
\_\_\_\_\_

**NOTE:** The filing date under 37 CFR 1.62(a) is "The date on which a request is filed for an application . . . including identification of the Serial Number, filing date and applicant's name of the prior application". According to 37 CFR 1.51(a) a prior complete application comprises: (1) a specification, including a claim or claims, (2) a

CERTIFICATION UNDER 37 CFR 1.10

I hereby certify that this FWC transmittal and the documents referred to as attached therein are being deposited with the United States Postal Service on this date \_\_\_\_\_ in an envelope as "Express Mail" Post Office Address: \_\_\_\_\_ Mailing Label Number \_\_\_\_\_ addressed to the Commissioner of Patents and Trademarks, Washington, D.C. 20231 Patent and Trademark Office on January 23, 1989.

PENROSE D. ALBRIGHT  
(Type or print name of person mailing paper)  
Penrose D. Albright  
(Signature of person mailing paper)

**NOTE:** Each paper or fee filed by "Express Mail" has the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 CFR 1.10(b).

declaration, (3) drawings, when necessary and (4) the prescribed filing fee. Accordingly, as presently worded, 37 CFR 1.62 does not permit the FWC procedure to be used where the prior application is pending but only the processing and retention fee required by 37 CFR 1.21(l) is paid.

*501* (further particulars of prior application are)

1. Title (as originally filed HIGH TRANSITION TEMPERATURE SUPERCONDUCTING  
and as last amended) COMPOSITIONS
2. Name of applicant(s) (as originally filed and as last amended) and current correspondence address of applicant(s)

1. FULL NAME OF INVENTOR	FAMILY NAME <u>CHU</u>	FIRST GIVEN NAME <u>CHING-</u>	SECOND GIVEN NAME <u>WU</u>
CITY <u>Houston TX</u>	STATE OR FOREIGN COUNTRY <u>Texas</u>	COUNTRY OF CITIZENSHIP <u>USA</u>	
POST OFFICE ADDRESS <u>University of Houston</u> <u>4800 Calhoun</u>	CITY <u>Houston</u>	STATE & ZIP CODE/ COUNTRY <u>Texas 77004</u>	
2. FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
CITY	STATE OR FOREIGN COUNTRY	COUNTRY OF CITIZENSHIP	
POST OFFICE ADDRESS	CITY	STATE & ZIP CODE/ COUNTRY	
3. FULL NAME OF INVENTOR	FAMILY NAME	FIRST GIVEN NAME	SECOND GIVEN NAME
CITY	STATE OR FOREIGN	COUNTRY OF CITIZENSHIP	
POST OFFICE ADDRESS	CITY	STATE & ZIP CODE/ COUNTRY	

(Add similar information for additional inventors, if applicable )

The above identified application in which no payment of issue fee, abandonment of, or termination of proceedings has occurred, is hereby expressly abandoned as of the filing date of this new application. Please use all the contents of the prior application file wrapper, including the drawings, as the basic papers for the new application.

It is understood that secrecy under 35 U.S.C. 122 is hereby waived to the extent that if information or access is available to any one of the applications in the file wrapper of a 37 CFR 1.62 application, be it either this application or a prior application in the same file wrapper, the PTO may provide similar information or access to all the other applications in the same file wrapper.

## II. Inventorship statement

**NOTE:** "If the continuation, continuation-in-part, or divisional application is filed by less than all the inventors named in the prior application a statement must accompany the application when filed requesting deletion of the names of the person or persons who are not inventors of the invention being claimed in the continuation, continuation-in-part, or divisional application." 37 CFR 1.62(a) [emphasis added].

**NOTE:** "In the case of a continuation-in-part application which adds and claims additional disclosure by amendment, an oath or declaration as required by §1.63 must be filed. In those situations where a new oath or declaration is required due to additional subject matter being claimed, additional inventors may be named in the continuing application. In a continuation or divisional application which discloses and claims only subject matter disclosed in a prior application, no additional oath or declaration is required and the application must name as inventors the same or less than all the inventors in the prior application." 37 CFR 1.60(c).

(complete applicable item (a), (b) and/or (c) below)

- (a) ☒ This application discloses and claims only subject matter disclosed in the prior application whose particulars are set out above and the inventor(s) in this application are

☒ the same

☐ less than those named in the prior application and it is requested that the following inventor(s) identified above for the prior application be deleted:

---

(Type name(s) of inventor(s) to be deleted)

- (b) ☐ This application discloses and claims additional disclosure by amendment and a new declaration or oath is being filed. With respect to the prior application whose particulars are set out above the inventor(s) in this application are

☐ the same

☐ add the following additional inventor(s)

---

(Type name of inventor(s) to be added)

- (c) The inventorship for all the claims in this application are

☒ the same

☐ not the same, and an explanation, including the ownership of the various claims at the time the last claimed invention was made, is submitted.

## III. Declaration or oath

### A. Continuation or divisional

☒ none required

### B. Continuation-in-part

☐ attached

☐ an original

executed by (check all applicable items)

☐ inventor(s).

☐ legal representative of inventor(s) 37 CFR 1.42 or 1.43.

☐ joint inventor or person showing a proprietary interest for inventor who refused to sign or cannot be reached. 37 CFR 1.47;

☐ This is the petition required by 37 CFR 1.47 and the statement required by 37 CFR 1.47 is also attached. See item VI below for fee.

☐ not attached

(FWC [4-2]—page 3 of 8)

Application is made by a person authorized under 37 CFR 1.41(c) on behalf of all of the above named applicant(s). The declaration or oath, along with the surcharge required by 37 CFR 1.16(e) can be filed subsequently.

- ☐ showing that the filing is authorized. (Not required unless called into question. 37 CFR 1.41(d)).

#### IV. Fee Calculation—Amendments

**WARNING:** "The claims of a new application may be finally rejected in the first Office action in those situations where (1) the new application is a continuing application of, or a substitute for, an earlier application, and (2) all the claims of the new application (a) are drawn to the same invention claimed in the earlier application, and (b) would have been properly finally rejected on the grounds of art of record in the next Office action if they had been entered in the earlier application." MPEP, § 706.07(b).

- ☒ The fees to be charged are to be based on the number of claims remaining\* as a result of the  
(cancelling pending claims 9-16 and adding new claims 17-24)  
☒ attached preliminary amendment  
☐ the unentered amendment filed under 37 CFR 1.116 in the prior application, which is now repeated  
☐ the claims as on file in the prior application

CLAIMS FOR FEE CALCULATION						
Number Filed			Number Extra		Rate	Basic Fee \$340.00
Total Claims	5	- 20 =	N/A	X	\$ 12.00	
Independent Claims	5	- 3 =	2	X	\$ 34.00	68.00
Multiple dependent claim(s), if any					\$110.00	
0						

- ☐ The fee for extra claims is not being paid at this time.

Filing fee calculation

\$ 408.00

**NOTE:** If the fees for extra claims are not paid on filing they must be paid or the claims cancelled by amendment, prior to the expiration of the time period set for response by the Patent and Trademark Office in any notice of fee deficiency. 37 CFR 1.16(d).

#### V. Small Entity Statement

- ☐ A verified statement that this is a filing by a small entity is attached.  
☒ The small entity statement was filed in the parent application Serial No. 012,205 on \_\_\_\_\_ and this status is still proper and its benefit under 37 CFR 1.28(a) is hereby claimed.

Filing fee calculation (50% of above)

\$ \_\_\_\_\_

**NOTE:** 37 CFR 1.28(a) states "Status as a small entity must be specifically established by a verified statement filed in each application or patent in which the status is available and desired, except those applications filed under §1.60 or §1.62 of this part where the status as a small entity has been established in a parent application and is still proper."

(FWC [4-2]—page 4 of 8)

\* As of the date of the FWC filing request, in the prior complete application Serial No. 012,205 claims 9-16 remained pending, claims 1-8 had been previously cancelled.

The last sentence of 37 CFR 1.28(a) states: "Applications filed under §1.60 or §1.62 of this part must include a reference to a verified statement in a parent application if status as a small entity is still proper and desired.

Any excess of the full fee paid will be refunded if a verified statement and a refund request are filed within 2 months of the date of timely payment of a full fee then the excess fee paid will be refunded on request. 37 CFR 1.28(a).

## VI. Fee Payment Being Made at This Time

### Not attached

- ☐ No filing fee is submitted. (This and the surcharge required by 37 CFR 1.16(e) can be paid subsequently.)

### Attached

- ☒ filing fee \$ 408.00
- ☐ recording assignment (\$7.00; 37 CFR 1.21(h)(i)).  
See item xii below. \$ \_\_\_\_\_
- ☐ petition fee for filing by other than all the inventors or person not the inventor where inventor refused to sign or cannot be reached (\$140.00; 37 CFR 1.47 and 1.17(h)) \$ \_\_\_\_\_
- ☐ processing and retention fee (\$100.00; 37 CFR 1.53(d) and 1.21(l)) \$ \_\_\_\_\_

NOTE: 37 CFR 1.21(l) establishes a fee for processing and retaining any application which is abandoned for failing to complete the application pursuant to 37 CFR 1.53(d) and this, as well as, the changes to 37 CFR 1.53 and 1.78 indicate that in order to obtain the benefit of a prior U.S. application, either the basic filing fee or the processing and retention fee in § 1.21(l) must be paid within 1 year from the notification under § 1.53(d).

Total fees enclosed

\$ 408.00

## VII. Method of Payment of Fees

☒ attached is check in the amount of \$ 408.00  
☐ charge Account No. \_\_\_\_\_ in the  
amount of \$ \_\_\_\_\_

A duplicate of this request is attached.

**NOTE:** Fees should be itemized in such a manner that it is clear for which purpose the fees are paid. 37 CFR 1.22(b).

## VIII. Authorization to Charge Additional Fees

**NOTE:** If no fee payment is made at this time this item should not be completed.

**WARNING:** Accurately count claims, especially multiple dependent claims, to avoid unexpected high charges if extra claim charges are authorized.

☒ The Commissioner is hereby authorized to charge the following additional fees which may be required by this paper and during the entire pendency of this application to Account No. 16-2435:

☒ 37 CFR 1.16 (filing fees)

☒ 37 CFR 1.16 (presentation of extra claims)

**NOTE:** Because additional fees for excess or multiple dependent claims not paid on filing or on later presentation must only be paid or these claims cancelled by amendment prior to the expiration of the time period set for response by the PTO in any notice of fee deficiency (37 CFR 1.17(d)) it might be best not to authorize the PTO to charge additional claim fees, except possibly when dealing with amendments after final action.

☐ 37 CFR 1.17 (application processing fees)

☐ 37 CFR 1.18 (issue fee at or before mailing of Notice of Allowance, pursuant to 37 CFR 1.311(b)).

**NOTE:** Where an authorization to charge the issue fee to a deposit account has been filed before the mailing of a Notice of Allowance, the issue fee will be automatically charged to the deposit account at the time of mailing the notice of allowance, 37 CFR 1.311(b).

From the wording of 37 CFR 1.28(b): (a) notification of change of status must be made even if the fee is paid as "other than a small entity" and (b) no notification is required if the change is to another small entity. Notification of any change of status resulting in loss of entitlement to small entity status must be filed in the application prior to, or at the time of, paying the issue fee. 37 CFR 1.28(b).

## IX. Instructions as to Overpayment

☒ credit Account No. 16-2435  
☐ refund

## X. Priority—35 U.S.C. 119

☐ Priority of application Serial No. \_\_\_\_\_ filed on  
\_\_\_\_\_ in \_\_\_\_\_ is claimed under  
35 U.S.C. 119. (country)

☐ The certified copy has been filed in prior U.S. application Serial No.  
\_\_\_\_\_ filed \_\_\_\_\_

☐ certified copy will follow



**XI. Relate Back—35 U.S.C. 120**

at page 1 before line 2 the sentence:

☒ Amend the specification by inserting ~~before the first line the sentence:~~

This is a

- ☒ continuation  
☐ divisional  
☐ continuation-in-part

C/ of co-pending application Serial No. 012,205 filed on  
February 6, 1987

**XII. Assignment**

- ☒ the prior application is assigned of record to University of Houston-University Park  
☐ an assignment of the invention to \_\_\_\_\_  
is attached.

**XIII. Power of Attorney**

The power of attorney in the prior application is to

Attorney	Reg. No.
d. <input checked="" type="checkbox"/> The power appears in the original papers in the prior application.	
e. <input type="checkbox"/> The power does not appear in the original papers, but was filed on _____	
f. <input type="checkbox"/> A new power has been executed and is attached.	
g. <input type="checkbox"/> Address all future communications to:	
<u>Name</u>	<u>Reg. No.</u>
<u>Address</u>	
	<u>Tel. No.</u>

*(Item g may only be completed by applicant, or attorney or agent of record).*

**XIV. Maintenance of Copendency of Prior Application**

*(This item must be completed and the papers filed if the period set in the prior application has run)*

- ☐ A petition, fee and response has been filed to extend the term in the pending prior application until \_\_\_\_\_

**XV. Conditional Petitions for Extension of Time in Parent Application**

*(complete this item if previous item not applicable)*

- ☐ a conditional petition for extension of time is being filed in the pending parent application

**XVI. Abandonment of Prior Application**

- ☒ Please abandon the prior application at a time while the prior application is pending or when the petition for extension of time in that application is granted and when this application is granted a filing date so as to make this application copending with said prior application.

*NOTE: According to the Notice of May 13, 1983 (103, TMOG 6-7) the filing of a continuation or continuation-in-part application is a proper response with respect to a petition for extension of time or a petition to revive and should include the express abandonment of the prior application conditioned upon the granting of the petition and the granting of a filing date to the continuing application.*

Charles M. Cox

Type or print name of person signing

Signature

Date

P.O. Address of Signatory  
1177 West Loop South  
Houston, Texas 77027

Tel. No.: (713) 850-0909

Reg. No. 29,057 301  
(if applicable)

- ☐ Inventor  
☐ Assignee of complete interest  
☐ Person authorized to sign on behalf of assignee  
☒ Attorney or agent of record  
☐ Filed under Rule 34(a)

*(Complete the following if applicable)*

University of Houston-University Park  
Type name of assignee

Address of assignee  
4800 Calhoun

Houston, Texas 77004

Title of person authorized to sign on behalf of assignee

Assignment recorded in PTO on February 24, 1987

Reel 4709 Frame 031-032